

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Atty. Dkt. No: 5760-01301/VRTS0066DIV

Inventor(s):

Han F. van Rietschote

Title: Storage Management System

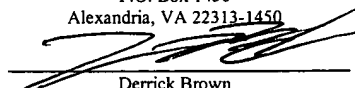
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CERTIFICATE OF EXPRESS MAIL  
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Derrick Brown

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicant requests consideration of ☒ the references listed on the attached Form PTO-1449 and/or ☒ the additional information identified below in paragraph 3.

- ☐ A copy of each required reference listed on the Form PTO-1449 is enclosed.
- ☒ The references listed on the Form PTO-1449 were previously cited in application serial no. 10/140,614 to which the captioned application is seeking priority under 35 U.S.C. §120; therefore, a copy of each reference is not enclosed.
- ☐ The present application is a U.S. national patent application filed after June 30, 2003, or an international application that entered the national stage under 35 USC § 371 after June 30, 2003. Therefore, copies of the cited U.S. patents and/or U.S. patent application publications are not enclosed.

1. This Information Disclosure Statement is submitted:

- a. ☒ within 3 months of the filing date of a national application other than a continued prosecution application under § 1.53(d);
- ☐ within 3 months of the date of entry of the national stage as set forth in § 1.491 in an International application;
- ☐ before the mailing date of a first Office Action on the merits; or
- ☐ before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

- b. ☐ after the events of above paragraph 1a and prior to the mailing date of a final Office Action or Notice of Allowance, and thus: ☐ the certification of paragraph 2 below is provided, or ☐ a fee of \$180.00 is enclosed.
- c. ☐ after the mailing date of a final Office Action or a Notice of Allowance and prior to payment of the issue fee, and thus: the certification of paragraph 2 below is provided and a fee of \$180.00 is enclosed.

2. It is hereby certified:

- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in § 1.56(c) more than thirty (30) days prior to the filing of the information disclosure statement;
- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the Statement; or
- ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in § 1.56 (c) more than three (3) months prior to the filing of the Statement.

3. ☒ Consideration of the following additional information (including any co-pending or abandoned U.S. applications, prior uses and/or sales, etc.) is requested:

U.S. Application Serial No. 10/616,437	(5760-12200)
U.S. Application Serial No. 10/109,406	(5760-00300)
U.S. Application Serial No. 10/109,186	(5760-00400)
U.S. Application Serial No. 10/108,882	(5760-00200)

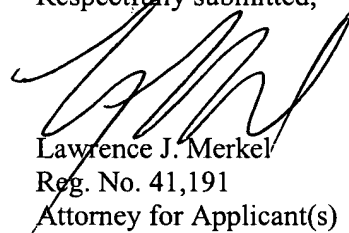
4. For each non-English language reference listed on the attached Form PTO-1449:

- ☐ reference is made to an English language translation submitted herewith, and/or
- ☐ reference is made to a foreign patent office search report (in the English language) submitted herewith, and/or
- ☐ reference is made to an English language translation of a foreign patent office search report submitted herewith, and/or
- ☐ reference is made to the concise explanation contained in the specification of the present application at page(s) \_\_\_\_\_, and/or

- ☐ reference is made to the concise explanation set forth below:
5. ☐ Applicant also offers the following comments for the Examiner's consideration:
6. ☐ Also enclosed is a copy of a foreign search report citing these references.
7. ☐ The listed documents were brought to the attention of the Applicant(s) after payment of the issue fee in the captioned case. The documents were cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. Applicant(s) request this Information Disclosure Statement and attached Form PTO-1449 be placed in the file of the captioned application.
8. ☐ Applicant(s) requests that the Information Disclosure Statement and attached Form PTO-1449 and references, which are being filed before the grant of the patent and pursuant to 37 C.F.R. § 1.97(i), be placed in the file of the captioned application.

If any required fees are missing, the Commissioner is authorized to charge said fees to Meyertons, Hood, Kivlin, Kowert & Goetzel, P.C. Deposit Account No. 501505/5760-01301/LJM.

Respectfully submitted,



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Attorney for Applicant(s)

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Date: April 9, 2004

<b>Form PTO-1449</b> (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5760-01301 VRTS 0066DIV	SERIAL NO. Unknown  GROUP: Unknown
	APPLICANT: van Rietschote	
	FILING DATE: Herewith	

### U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
		5,852,724	12/22/98	Glenn, II, et al.			
		5,872,931	2/16/99	Chivaluri			
		6,029,166	2/22/00	Mutalik, et al.			
		6,363,462	3/26/02	Bergsten			
		6,341,329	1/22/02	LeCrone, et al.			
		6,324,627	11/27/01	Kricheff, et al.			
		6,298,428	10/2/01	Munroe, et al.			
		6,298,390	10/2/01	Matena, et al.			
		6,075,938	6/13/00	Bugnion, et al.			
		5,944,782	8/31/99	Noble, et al.			
		6,496,847	12/17/02	Bugnion, et al.			
		6,397,242	5/28/02	Devine, et al.			
		6,075,938	6/13/00	Bugnion, et al.			
		5,621,912	4/15/97	Borruso, et al.			
		4,969,092	11/6/90	Shorter			
		4,912,628	3/27/90	Briggs			
		5,408,617	4/18/95	Yoshida			
		5,257,386	10/26/93	Saito			
		6,151,618	11/21/00	Wahbe, et al.			
		2003/0033431	2/13/03	Shinomiya			
		2001/0016879	8/23/01	Sekiguchi, et al.			
		6,230,246	5/01	Lee, et al.			
		6,493,811	12/02	Blades, et al.			
		6,438,642	8/02	Kamel Shaath			

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

		Kasidit Chanchio, et al., "Data Collection and Restoration for Heterogeneous Process Migration," 1997, 6 pages.
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Information Disclosure Statement--PTO 1449 (modified)

<b>Form PTO-1449</b> (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5760-01301 VRTS 0066DIV APPLICANT: van Rietschote  FILING DATE: Herewith	SERIAL NO. Unknown  GROUP: Unknown
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>		
		Veritas, "Executive Overview," Technical Overview, pages 1-9.;
		Kinshuk Govil, et al., "Cellular Disco: Resource Management Using Virtual Clusters on Shared-Memory Multiprocessors," 17 <sup>th</sup> ACM Symposium on Operating Systems Principles (SOSP'99), Published as Operating Systems Review 34(5):154-169, December 1999, pages 154-169.
		Edouard Bugnion, et al., "Disco: Running Commodity Operating Systems on Scalable Multiprocessors," Computer Systems Laboratory, Stanford, CA, 33 pages.
		"White Paper, GSX Server," VMware, Inc., December 2000, pages 1-9.
		"Vmware GSX Serve, The Server Consolidation Solution," VMware, Inc., 2001, 2 pages.
		"Manage Multiple Worlds., From Any Desktop," VMware, Inc., 2000, 2 pages.
		"VMware ESX Server, The Server Consolidation Solution for High-Performance Environments," VMware, Inc., 2001, 2 pages.
		Melinda Varian, "VM and the VM Community: Past, Present, and Future," Operating Systems, Computing and Information Technology, Princeton Univ., August 1997, pp. 1-67.
		VERITAS, "Comparison: Microsoft Logical Disk Manager and VERITAS Volume Manager for Windows," May 2001, 4 pages.
		VERITAS, "How VERITAS Volume Manager Complements Hardware RAID in Microsoft Server Environments," May 2001, pp. 1-7.
		VERITAS, "VERITAS Volume Manager for Windows, Best Practices," May 2001, pp. 1-7.
		Kasidit Chanchio, et al., "A Protocol Design of Communication State Transfer for Distributed Computing," Publication date unknown, 4 pages.
		SourceForge™, "Project: openMosix: Document Manager: Display Document," 14 pages.
		OpenMosix, "The openMosix HOWTO: Live free() or die (), " May 7, 2003, 3 pages.
		OpenMosix, "openMosix Documentation Wiki - don't," May 7, 2003, 2 pages.
		Sapuntzakis, et al., "Optimizing the Migration of Virtual Computers," Proceedings of the Fifth Symposium on Operating Systems Design and Implementation, December 2002, 14 pages.
		Helfrich, et al., "Internet Suspend/Resume," ISR Project Home Page, 2003, 4 pages.
		Kozuch, et al., "Internet Suspend/Resume," IRP-TR-02-01, April 2002, Accepted to the Fourth IEEE Workshop on Mobile Computing Systems and Applications, Callicoon, NY, June 2002, Intel Research, 9 pages.
		Kozuch, et al., "Efficient State Transfer for Internet Suspend/Resume," IRP-TR-02-03, May 2002, Intel Research, 13 pages.
		Tolia, et al., "Using Content Addressing to Transfer Virtual Machine State," IRP-TR-02-11, Summer 2002, Intel Research, 11 pages.
		Dejan S. Milogicic, et al., "Process Migration," August 10, 1999, 49 pages.

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<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>		
	Barrie Sosinky, Ph.D., "The Business Value of Virtual Volume Management, In Microsoft Window NT and Windows 2000 Netowrks," VERITAS, A white paper for administrators and planners, October 2001, pp.1-12.	
	VERITAS, "VERITAS Volume Manager for Windows NT," Version 27, 2001, 4 pages.	
	"BladeFram™ System Overview," Egenera, Inc., 2001 2 pages.	
	White Paper, "The Egenera™ Processing Area Network (PAN) Architecture," Egenera, Inc., 2002, 20 pages.	
	White Paper, "Emerging Server Architectures," Egenera, Inc., 2001, 12 pages.	
	White Paper, "Improving Data Center Performance," Egenera, Inc., 2001, 19 pages.	
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	White Paper, "The Pros and Cons of Server Clustering in the ASP Environment," Egenera, Inc., 2001, 10 pages.	
	Position Paper, "Taking Control of The Data Center," Egenera, Inc., 2001, 4 pages.	
	Position Paper, "The Linux Operating System: How Open Source Software Makes Better Hardware," Egenera, Inc., 2001, 2 pages.	
	"Solution Overview," TrueSAN Networks, Inc., 2002, 7 pages.	
	"Simics: A Full System Simulation Platform," Reprinted with permission from Computer, February 2002, © The Institute of Electrical and Electronics Engineering, Inc., pp. 50-58.	
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	"About LindowsOS," Lindows.com, <a href="http://www.lindows.com/lindows_products_lindowsos.php">http://www.lindows.com/lindows_products_lindowsos.php</a> , 2002, 2 pages.	
	"Savannah: This is a Savannah Admin Documentation," Savannah, Free Software Foundation, Inc.© 2000-2002, 31 pages.	
	"Virtuozzo Basics," Virtuozzo, <a href="http://www.sw-soft.com/en/products/virtuozzo/basics/">http://www.sw-soft.com/en/products/virtuozzo/basics/</a> , © 1994-2002 SWsoft, printed from web on 12/13/2002, 2 pages.	
	"What is Virtual Environmnet(VE)?," SWsoft, <a href="http://www.sw-soft.com/en/products/virtuozzo/we/">http://www.sw-soft.com/en/products/virtuozzo/we/</a> , © 1994-2002 SWsoft, printed from web on 12/13/2002, 2 pages.	
	"Products," Netraverse, Inc, 2002, <a href="http://www.netraverse.com/products/index.php">http://www.netraverse.com/products/index.php</a> , printed from web on 12/13/2002, 1 page.	
	"NeTraverse Win4Lin 4.0 - Workstation Edition," Netraverse, Inc, 2002, <a href="http://www.netraverse.com/products/win4lin40/">http://www.netraverse.com/products/win4lin40/</a> , printed from web on 12/13/2002, 1 page.	
	John Abbott, Enterprise Software, "VMware Heads Toward Utility Computing With New Dynamic Management Tools," July 1, 2003, 4 pages.	

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<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>		
		"Win4Lin Desktop 4.0," Netraverse, Inc, 2002, <a href="http://www.netraverse.com/products/win4lin40/benefits.php">http://www.netraverse.com/products/win4lin40/benefits.php</a> , printed from web on 12/13/2002, 1 page.
		"Win4Lin Desktop 4.0," Netraverse, Inc, 2002, <a href="http://www.netraverse.com/products/win4lin40/features.php">http://www.netraverse.com/products/win4lin40/features.php</a> , printed from web on 12/13/2002, 2 page.
		"Win4Lin Desktop 4.0," Netraverse, Inc, 2002, <a href="http://www.netraverse.com/products/win4lin40/requirements.php">http://www.netraverse.com/products/win4lin40/requirements.php</a> , printed from web on 12/13/2002, 2 page.
		"Win4Lin Terminal Server 2.0," Netraverse, Inc, 2002, <a href="http://www.netraverse.com/products/wts">http://www.netraverse.com/products/wts</a> , printed from web on 12/13/2002, 1 page.
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		Win4Lin Terminal Server 2.0," Netraverse, Inc, 2002, <a href="http://www.netraverse.com/products/wts/features.php">http://www.netraverse.com/products/wts/features.php</a> , printed from web on 12/13/2002, 2 pages.
		Win4Lin Terminal Server 2.0," Netraverse, Inc, 2002, <a href="http://www.netraverse.com/products/wts/requirements.php">http://www.netraverse.com/products/wts/requirements.php</a> , printed from web on 12/13/2002, 2 pages.
		Win4Lin Terminal Server 2.0," Netraverse, Inc, 2002, <a href="http://www.netraverse.com/products/wts/technology.php">http://www.netraverse.com/products/wts/technology.php</a> , printed from web on 12/13/2002, 1 page.
		Win4Lin," Netraverse, Inc, 2002, <a href="http://www.netraverse.com/support/docs/Win4Lin-whitepapers.php">http://www.netraverse.com/support/docs/Win4Lin-whitepapers.php</a> , printed from web on 12/13/2002, 5 pages.
		"Virtual PC for Windows," Connectix, Version 5.0, 2002, 2 pages
		Dave Gardner, et al., "WINE FAQ," © David Gardner 1995-1998, printed from <a href="http://www.winehq.org">www.winehq.org</a> , 13 pages.
		"Winelib User's Guide," Winelib, <a href="http://www.winehq.org">www.winehq.org</a> , 26 pages.
		John R. Sheets, et al. "Wine User Guide," <a href="http://www.winehq.org">www.winehq.org</a> , pages 1-53.
		"Wine Developer's Guide," pages, <a href="http://www.winehq.org">www.winehq.org</a> , 1-104.
		Tolia, et al., "Opportunistic Use of Content Addressable Storage for Distributed File Systems," IRP-TR-03-02, June 2003, Intel Research, To Appear in the Proceedings of the 2003 USENIX Annual Technical Conference, San Antonio, TX, 16 pages.
		Flinn, et al., "Data Staging on Untrusted Surrogates," IRP-TR-03-03, March 2003, Intel Research, To Appear in the Proceedings of the 2 <sup>nd</sup> USENIX Conference on File and Storage Technologies, San Francisco, 16 pages.
		VMware, Inc., "VMware Control Center," 2003, 3 pages.
		InfoWorld, Robert McMillan, "VMware Launches VMware Control Center," 2003, 2 pages.
		VMware, Inc., "VMware Control Center: Enterprise-class Software to Manage and Control Your Virtual Machines," 2003, 2 pages.
		Xian-He Sun, et al., "A Coordinated Approach for Process Migration in Heterogeneous Environments," 1999, 12 pages.

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